



# Take *A/M* Before You Invest

BEFORE investing your money, ask the person/company who is offering services (legal, investment, insurance, financial, etc.) to complete this form and leave it with you.

## What product(s) are you offering? (Check all that apply)

- |   |       |                                       |  |
|---|-------|---------------------------------------|--|
| <input type="checkbox"/> Insurance      | Type: | <input type="checkbox"/> Annuities    | <input type="checkbox"/> Other: _____  |
| <input type="checkbox"/> Investment     | Type: | <input type="checkbox"/> Securities   | <input type="checkbox"/> Other: _____  |
| <input type="checkbox"/> Legal Services | Type: | <input type="checkbox"/> Living Trust | <input type="checkbox"/> Estate Planning <input type="checkbox"/> Other: _____ |
| <input type="checkbox"/> Financial      | Type: | <input type="checkbox"/> Accountant   | <input type="checkbox"/> Other: _____  |
| <input type="checkbox"/> Other: _____   |       |                                       |  |

## Who regulates or licenses this product/service?

- |   |   |
|---|---|
| <input type="checkbox"/> California Department of Corporations  | <input type="checkbox"/> California Department of Real Estate |
| <input type="checkbox"/> California Department of Insurance     | <input type="checkbox"/> California Board of Accountancy      |
| <input type="checkbox"/> Other (please identify/explain): _____ | <input type="checkbox"/> The State Bar of California          |

## What license(s) do you hold that authorizes you to sell this product/service?

LICENSE TYPE	LICENSE INFORMATION
Insurance License	License No: _____
Securities License	CRD No: _____
Investment Advisor	License No: _____ <input type="checkbox"/> Corporations <input type="checkbox"/> SEC
State Bar License	State Bar No: _____
Accountant License	CPA No: _____
Real Estate License	DRE License No: _____
Other	Explain: _____

## Seller/Agent Information

Seller/Agent Name & License No: \_\_\_\_\_

Company/Business Name: \_\_\_\_\_

Company/Business Address: \_\_\_\_\_

Phone Number: \_\_\_\_\_ Today's Date: \_\_\_\_\_

# DON'T BECOME A CON ARTIST'S TARGET!



## Check with your Resources

Call the appropriate agency to confirm that the person/company holds a valid license (i.e. verify that **both** are licensed and authorized to sell/offer the product to you) **BEFORE** you **INVEST** your money.



California's Investment and Financing Authority

The California Department of Corporations  
1-866-ASK-CORP (275-2677)



The California Department of Insurance  
1-800-927-HELP (4357)



The California Department of Real Estate  
Contact one of the four regional offices:  
Sacramento: 916-227-0931      San Diego: 619-525-4192  
Los Angeles: 213-620-2072      Oakland: 510-622-2552



The California Board of  
Accountancy  
916-263-3680



The State Bar of California  
1-800-843-9053

A knowledgeable consumer is a **guarded** consumer. The California TAP\$ (Troops Against Predatory Scams) Campaign offers safety through education! The program provides information that can help you in your investment decision. Don't invest until you have taken AIM:

**A**lways ask questions.

**I**nvestigate first and compare.

**M**ake the best decision for you and your family.

Funded in part by a grant from the Investor Protection Trust, [www.investorprotection.org](http://www.investorprotection.org).